DOCUMENT RESUME

ED 196 192 EC 131 319

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|---|---|
| AUTHOR | Collingwood, Huesten, Ed. |
| TITLE | Self-Study and Evaluation Guide/1980 Edition. Section C-3: Personnel Administration and Volunteer Service. |
| INSTITUTION | National Accreditation Council for Agencies Serving the Blind and Visually Handicapped, New York, N.Y. |
| REPORT NO | ISBN-0-912948-71-X |
| PUB DATE | 80 |
| NOTE | 60p. |
| AVAILABLE FROM | National Accreditation Council for Agencies Serving the Blind and Visually Handicapped, 79 Madison Ave., New York, NY 10016 ($1.50) |
| EDRS PRICE | MF01/PC03 Plus Postage. |
| DESCRIPTORS | *Agencies: *Blindness: Check Lists: Personnel Management: *Policy Formation: Program Evaluation: *Self Evaluation (Groups): *Standards: *Visual Impairments: Volunteers |

ABSTRACT

A self study and evaluation guide for agencies serving blind and visually handicapped students presents standards for personnel administration and volunteer services. Standards in eight areas are listed for self evaluation: planning and organization, policy development for personnel administration, personnel policies, personnel policy implementation, policy development for volunteer services, volunteer service policies, volunteer service policy implementation, and program evaluation. A final section focuses on programing for improvement through ongoing planning, implementation, and evaluation. (CL)

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SELF-STUDY AND EVALUATION GUIDE | 1980 Edition

# Personnel Administration and Volunteer Service

NATIONAL ACCREDITATION COUNCIL
For Agencies Serving the Blind and Visually Handicapped
79 Madison Avenue
New York, N.Y. 10016

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# INSTRUCTIONS

**PRELIMINARY STEPS.** Two steps should precede the use of this section in a self-study.

1. All persons involved in the self-study should become familiar with *Section A, Manual of Procedures* for an understanding of the background and purposes of accreditation and the procedures to be followed in conducting a self-study using the various self-study and evaluation guides published by the National Accreditation Council.

2. Members of the self-study committee assigned to complete this guide should review the organization's statement of philosophy of service as a basic reference for the self-study.

**RATING.** In the parentheses ( ) preceding each standard, enter the letter representing the final evaluation reached in the self-study. Often, improvements are implemented during the self-study. In such instances, the ratings selected should represent conditions at the end of the self-study.

**E – Excellent.** The standard is met fully or exceeded.

**S – Satisfactory.** The standard is met substantially.

**A – Adequate.** The standard is met fairly well but some improvements could be made.

**P – Poor.** The standard is met only partially and improvements should be made.

**M – Minimal.** The standard is met to a small extent or not at all and substantial improvements should be made.

**NA – Not Applicable.** The standard does not apply for reasons stated under *Comments.*

**COMMENTS.** Throughout the section, space is provided after groups of standards for written comments. An explanation of the rating or any important feature or characteristic of the program can be noted here. Also, the reason why a particular standard or group of standards is not felt to apply to the organization can be outlined.

**PROGRAMMING FOR IMPROVEMENT.** This concluding part of the guide contains seven questions which provide an opportunity to list the outstanding features of the program and how it benefits the persons served. The questions also call for a listing of past improvements and those which are yet to be accomplished. Plans for improvement initiated as a result of the self-study should be included.

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National Accreditation Council
for Agencies Serving the Blind and Visually Handicapped
79 Madison Avenue, New York, N.Y. 10016

Printed in the United States of America

ISBN 0-912948-71-X

C-3

First printing, 8/80 (1000)

## SELF-STUDY AND EVALUATION GUIDES

This self-study and evaluation guide is designed to be used in combination with other guides, listed below, available from the National Accreditation Council. An organization undertaking a self-study in applying for accreditation needs to use the following: *A*, either *B-1* or *B-2*, all *C* sections, those *D* sections for the services provided, an *E* form for certain staff members and *F*.

| Section | Title and Edition |
|---|---|
| *A* | *Manual of Procedures (1979)* |
| *B-1* | *Agency Profile (1979)* |
| *B-2* | *School Profile (1979)* |
| *C-1* | *Function and Structure (1977)* |
| *C-2* | *Accounting for Services and Finances (1976)* |
| *C-3* | *Personnel Administration and Volunteer Service (1980)* |
| *C-4* | *Physical Facilities (1975)* |
| *C-5* | *Public Relations and Fund Raising (1968)* |
| *D-2A* | *Orientation and Mobility Services (1977)* |
| *D-2B* | *Orientation and Mobility Services (Dog Guide Programs, 1968)* |
| *D-3* | *Rehabilitation Centers (1968)* |
| *D-4* | *Workshop Services (1976)* |
| *D-5* | *Social Services (1968)* |
| *D-6* | *Vocational Services (1975)* |
| *D-7* | *Production of Reading Materials (1970)* |
| *D-8* | *Rehabilitation Teaching Services (1977)* |
| *D-9* | *Low Vision Service (1981)* |
| *D-15* | *Preschool Services (from Birth to Six, 1979)* |
| *D-16* | *Other Service Program (1979)* |
| *D-20* | *Curriculum Planning and Evaluation (1979)* |
| *D-21* | *Program for Multihandicapped Students (1979)* |
| *D-22* | *Program for K-12 Students (1979)* |
| *D-23* | *Program for Independent Living (1979)* |
| *D-24* | *Educational Resources Program (1979)* |
| *D-25* | *Leisure Education (1979)* |
| *D-26* | *Residential Living Program (1979)* |
| *D-27* | *Health Services (1979)* |
| *D-28* | *Educational Diagnostic and Counseling Services (1979)* |
| *E* | *Individual Staff Member Information Form (1977)* |
| *F* | *Evaluation Summary and Report (1979)* |

Sections *D-2A* through *D-9* are applicable primarily to "agencies" and *D-20* through *D-28* primarily to "schools." *D-15* is used for preschool services in any setting. Similarly, *D-16* is used by all organizations for services for which NAC does not have specific standards such as radio reading service or special summer program.

## STANDARDS PERSONNEL

COMMISSION ON STANDARDS, Wesley D. Sprague, *Chairman*, Executive Director, The New York Association for the Blind

Owen R. Davison
Management Services and Consultation, Non-profit Organizations
Hershey, Pennsylvania

Philip Hatlen, Ph.D., Associate Professor
Department of Special Education
San Francisco State University

Ralph L. Hoag, Ed.D., Superintendent
Arizona School for the Deaf and the Blind

Fred McDonald
Consultant in Management of Nonprofit Organizations
Prospect Heights, Illinois

Robert T. McLean, Ph.D.
Professor of Mathematical Sciences
Loyola University, New Orleans

Barbara Tate, Secretary
National Braille Association, Inc.
Erie, Pennsylvania

Donald H. Wedewer, Executive Director
Florida Division of Blind Services

NATIONAL TECHNICAL COMMITTEE FOR REVISION OF STANDARDS FOR PERSONNEL ADMINISTRATION AND VOLUNTEER SERVICE. Owen R. Davison, *Chairman*

Alan Bosch, Staff Representative
Department of Community Services
AFL-CIO
Washington, DC

William J. Flynn, President
National Health and Welfare Mutual Life Insurance Association
New York City

Elizabeth A. Graham
Program and Volunteer Director
Sacramento Society for the Blind

John F. Heimerdinger
Executive Director
Jewish Guild for the Blind
New York City

Carolyn S. Leitch
Coordinator of Volunteers
Regional Library for the Blind and Physically Handicapped
Florida Division of Blind Services

James W. Mann, Ed.D., Chairman
Department of Special Education
University of Mississippi

William J. McClure, President
The Florida School for the Deaf and the Blind

LeRoy Saunders, Executive Director
Oklahoma League for the Blind

Paul Scher, Corporate Manager
Handicapped Program
Sears, Roebuck & Co.
Chicago, Illinois

**PROJECT STAFF**

Richard W. Bleecker, Ed.D., *Executive Director*
Huesten Collingwood, *Project Administrator and Editor*

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## ACKNOWLEDGMENTS

Development and revision of NAC's accreditation standards is the responsibility of the Commission on Standards. In 1974, the Commission began to systematically revise and update the standards which first were published in 1966. The process of developing and revising any set of standards involves a blending of input from a variety of sources including technical experts, blind persons, administrators, workers in the field, civic leaders and the literature. A draft of proposed standards is made widely available to all who wish to review it and submit comments and suggestions for its improvement.

At NAC's annual meeting in November 1978, the Commission's Chairman, Wesley D. Sprague, announced that revision of standards for personnel administration and volunteer service would begin soon. NAC's President, Louis H. Rives, Jr. appointed a national technical committee which Owen R. Davison, a member of the Commission on Standards and NAC's Board of Directors, agreed to chair.

The technical committee met for two days in April, 1979 and drafted proposed revisions of the standards. They incorporated "best practice" for the 1980's taking into account major developments which have occured since the standards were first codified in 1966.

The committee authorized the publication and distribution of its efforts in the form of a national review draft. The Summer 1979 issue of NAC's newsletter, *The Standard-Bearer*, announced the national review from July 1 to December 31, 1979. During this six month period, all interested persons and organizations were invited to review the draft and let us know how it might be strengthened.

We would like to thank officials of the American Association of Workers for the Blind who enabled us to hold an open discussion of the draft standards during its July, 1979 biennial conference in Oklahoma City. Over 60 agency administrators and others participated in a lively discussion from which emerged a number of valuable suggestions for improving the proposed standards.

We appreciate very much the assistance of the agencies for the blind which field-tested the draft by using them in self-studies of their programs of personnel administration and volunteer service and then made useful suggestions: the Center for Independent Living, New York City; Department for the Visually Handicapped, Arizona State School for the Deaf and the Blind; New York Association for the Blind and the Sacramento Society for the Blind.

Persons from the following organizations also sent in helpful comments about the proposed standards: American Red Cross, American Rehabilitation Counseling Association, Association for Education of the Visually Handicapped, Association of Volunteer Bureaus, Cincinnati Association for the Blind, Commission on Accreditation of Rehabilitation Facilities, Council on Accreditation of Services for Families and Children, Georgia Factory for the Blind, Middle States Association of Colleges and Schools, National Library Service for the Blind and Physically Handicapped of the Library of Congress and VOLUNTEER: The National Center for Citizen Involvement.

In March 1980, the national technical committee reviewed the input received from these sources and arrived at its final recommendations to the Commission on Standards. The committee deserves special commendation for its thoughtful work and successful completion of this project in an efficient manner.

The Commission on Standards reviewed the committee's final draft on June 23, 1980 at its meeting held in conjunction with the Helen Keller Centennial Congress in Boston. The Commission recommended approval of the draft. On June 25th, NAC's Board of Directors adopted the committee's final report and authorized publication of the revised standards for use in accreditation. This replaces the 1968 edition.

We thank the Exxon Corporation for its financial support of the concluding phases of this project.

Assistance was provided to the national technical committee by NAC staff. In particular, Dr. Richard W. Bleecker served as project director. The project administrator and general editor was Huesten Collingwood.

## INTRODUCTION

Cultivation and utilization of an organization's human resources -- its employed staff and unpaid volunteers -- is a major administrative function of an agency or school. Standards for personnel administration and volunteer service, along with four other sets of standards dealing with other basic administrative functions, are used by all organizations which seek to attain and maintain accreditation by NAC.

### FOCUS

The standards for personnel administration apply to the organization's employed staff: they are not designed to be applied for persons served by an organization's workshop services. Another self-study and evaluation guide, *Section D-4, Workshop Services*, contains standards pertaining to blind production workers.

Also, the standards for volunteer service are designed to apply to utilization of volunteers in direct service and support capacities. Applicable standards regarding membership of volunteers on governing or advisory bodies or other committees, are contained in *Section C-1, Function and Structure*.

### BACKGROUND

Accreditation standards for personnel administration and volunteer service in agencies and schools for the blind and visually handicapped were first developed by two committees of the Commission on Standards and Accreditation of Services for the Blind, commonly known as COMSTAC. The separately developed standards for personnel administration and volunteer service were combined in one chapter of *THE COMSTAC REPORT: Standards for Strengthened Services*, published in November 1966. Although personnel administration and volunteer service are frequently managed by separate departments, this concept of combining standards that deal with management of both salaried and contributed human resources has proven beneficial and efficient in NAC's accreditation program.

In early 1968, all of the COMSTAC standards were transformed into self-study and evaluation guides for use in accreditation. By 1974, the Commission on Standards had developed an overall plan for the systematic revision of the standards and guides. Early in 1979, when the project was begun to revise the standards for personnel administration and volunteer service, 24 of the 29 guides either had been revised or were new guides which had been developed since 1968.

This edition represents the results of a year-long national project to revise these standards. It continues and builds upon NAC's earlier experience in combining standards for personnel administration with those for volunteer service programs. As a further convenience to organizations using this guide, provision is made for two separate evaluation "tracks" - one for personnel administration and the other for volunteer service - in relation to standards which are generally common to both programs.

PERSONNEL ADMINISTRATION

Personnel administration is based on official policies which are implemented by specified practices. These standards call for policies on such matters as: employment, performance evaluation, job descriptions, classification system and salary plan, hours of work, leaves of absence, insurances, termination of employment and appeals policies. Personnel practices are covered by standards for implementation of personnel policies. Among the topics included are: organization for personnel administration, content of job descriptions, employment procedures, record keeping, staff development, supervision, and the personnel manual.

The standards developed in 1966 were based on three guiding principles which, with slight modification, are equally applicable today:

- That effective services to blind and visually handicapped persons depend on utilization of qualified personnel;
- That employed staff can give their best service when they work under conditions which are conducive to the maintenance of high quality and quantity of service and
- That officially adopted, written personnel policies and practices which have been developed by an appropriate process lend stability and fairness to employer-employee relations.

Since 1966, important developments have taken place in personnel administration. For example, affirmative action, retirement practices, insurances, licensing and certification, and unionization activities have undergone substantial change.

This edition expands the COMSTAC emphasis on affirmative action for employment of qualified handicapped workers -- especially those who are blind and visually handicapped -- by agencies and schools for the blind and visually handicapped.

The subject of retirement has received much public attention in recent years. Federal law now allows, extending one's working life to age 70. At the same time, many workers have expressed interest in early retirement. Federal legislation also has addressed private retirement income plans which supplement Social Security. These developments are reflected in the revised standards.

State licensing and national certification of employed staff have become increasingly important indicators of qualifications in a growing number of professions. Licensing and certification for some professions - education, social work, and psychology, for example - have existed for some time. Since the original publication of these standards, the American Association of Workers for the Blind has established a program for certification of orientation and mobility specialists and improved its program for certification of rehabilitation teachers. The Association for Education of the Visually Handicapped has added a program for certifying houseparents and other school personnel to its long-standing program of certification of teachers of the visually impaired. Certification of rehabilitation counselors has been substantially improved.

These and other developments related to licensing and certification were noted carefully during the process of revising these standards.

The 1966 edition of the standards recognized the right of employees to organize and bargain collectively. Since that time, unionization has expanded considerably among workers employed by state governments and non-profit organizations. This edition identifies a number of key points at which employee representatives may contribute to personnel planning, management and evaluation.

Accreditation experience has found that the utilization of standards for personnel administration leads to the development and improvement of written personnel policies and procedures. This edition of the standards places increased emphasis on reliance upon established, written personnel policies and procedures as the basis for sound personnel administration.

VOLUNTEER SERVICE

The standards for volunteer service encompass the recruitment, selection, training, assignment, supervision, evaluation and recognition of volunteers who provide direct or supportive services. Volunteers are defined as persons who serve without receiving compensation in the form of hourly wages or salary. Reimbursement for necessary and authorized expenses and insurance coverage are not considered compensation.

Volunteers have played significant roles in services for the blind and visually handicapped for many years. Indeed, some services, such as braille transcribing and tape recording traditionally rely on volunteers as their primary human resource for making reading materials available to blind persons.

For many years the typical service volunteer was a housewife who gave of her "free" time to augmenting various kinds of services. Today, individual volunteers - both men and women - increasingly come from the ranks of young people, older persons and service consumers, including blind and visually handicapped persons. Small businesses and large corporations frequently express their concern for society by participating in various kinds of volunteer efforts. For many years, community service groups, such as the Lions and Delta Gamma, have assisted agencies and schools for the blind and visually handicapped.

The 1966 standards recognized that volunteers needed and deserved the support and protection of a definite structure within which to give effective and meaningful service. This edition extends this concept in keeping with modern developments.

In recent years, a number of new and expanded national organizations concerned with volunteers has given increasing attention to the dignity and worth of volunteers. This edition of the standards reflects concepts such as volunteer participation in the development and revision of volunteer service policies, provision of written volunteer job descriptions, and insurances. The standards make it clear that a modern volunteer service should be adequately staffed, run in a business-like fashion and operated in harmony - not competition - with employed staff.

Some have found that a delicate balance must be maintained between work that is appropriately carried out by volunteers and work that is more suitable for employed staff. These standards are based on the premise that coordination, participation and structure are conducive to finding that effective balance within each organization between volunteers and employees which enhances the provision of quality services.

CHECKLISTS

Checklists are used for two purposes in this *Guide:*

- Those in regular type pinpoint compliance with standards that have multiple components and
- Those in italics provide supplementary information illustrative of a standard or a program.

USE OF THESE STANDARDS

Optimum use of this guide for self-study will involve a group of persons representing the governing authority, management, employees, volunteers and consumers. A coordinated self-study will benefit both the organization's personnel administration and program of volunteer service.

Although designed primarily for use in NAC's accreditation program, these standards are generic for management of the human resources of almost any service organization, whether operated as a voluntary, nonprofit organization or as a unit of government. Separate standards have been included to distinguish between organizations which have internal authority to set personnel policies and those which depend on a "parent" agency or other authority (e.g., state personnel agency) for such policies.

Organizations which apply these standards for personnel administration and volunteer service almost certainly will improve the quality, efficiency and accountability of the services they provide.

# PERSONNEL ADMINISTRATION AND VOLUNTEER SERVICE

## THE STANDARDS

## 1. PLANNING AND ORGANIZATION

*(NOTE. These standards are not applicable to personnel matters involving blind persons who receive workshop services. Applicable standards for blind production workers are in Section D-4, Workshop Services.*

*Also, these standards do not apply to participation by volunteers as members of governing or advisory bodies and committees. Applicable standards for such participation are in Section C-1, Function and Structure.*

*In Parts 1 and 8 of this guide, the column headed "PA" is for evaluations of personnel administration and the column headed "VS" is for evaluations of volunteer service.)*

| PA | VS | | |
|---|---|---|---|
| ( ) | ( ) | 1.1 | PHILOSOPHY. The organization makes provision for an adequate number of persons to manage and provide the services specified in its statement of philosophy of service. |
| ( ) | n/a | 1.1.1 | Paid Employees. A sufficient number of qualified paid employees is provided for defined jobs which carry out the objectives of the organization with the help of volunteers. |
| n/a | ( ) | 1.1.2 | Service Volunteers. A sufficient number of unpaid volunteers is engaged for defined tasks which assist and enhance the work of the paid employees in carrying out the objectives of the organization. |

*Comments:*

| | | | |
|---|---|---|---|
| ( ) | ( ) | 1.2 | PURPOSE. The organization maintains formal systems for personnel administration and management of volunteer service. |
| ( ) | ( ) | 1.2.1 | Results. These systems result in consistent and effective personnel administration and volunteer service operations. |

*Comments:*

| | | | |
|---|---|---|---|
| ( ) | ( ) | 1.3 | PLANNING. Planning for personnel administration and volunteer service is accomplished through a variety of methods and techniques. |
| ( ) | ( ) | 1.3.1 | Long-Range Planning. A written long-range plan establishes major goals concerning utilization and interrelation of employees and volunteers and projects the human, financial and physical resources needed to achieve such goals. |

| PA | VS | | |
|---|---|---|---|
| ( ) | ( ) | 1.3.1.1 | The plan extends for a specified time beyond the current fiscal year and is updated at stated intervals. |
| ( ) | n/a | 1.3.1.2 | Personnel planning encompasses periodic review and analysis of the management functions and service program goals in relation to the staffing needed to achieve them. |
| n/a | ( ) | 1.3.1.3 | Planning for volunteer service encompasses a review and analysis of appropriate tasks for volunteers which assist and enhance employees' discharge of their duties. |

*Comments:*

( ) ( ) 1.3.2 Annual Planning. Written plans for personnel administration and volunteer service are prepared for each fiscal year.

( ) ( ) 1.3.2.1 The annual plan is derived from the long range plan.

( ) ( ) 1.3.2.2 The annual plan is based on an evaluation of prior performance and projected need.

*Comments:*

( ) ( ) 1.3.3 Communications. Effective channels of communication are maintained on matters related to the annual and long-range planning for personnel administration and volunteer service.

( ) ( ) 1.3.4 Participation in planning. Planning for personnel administration and volunteer service is conducted with balanced participation by persons with a variety of interests *(check those categories regularly included in planning):*

| PA | VS | | PA | VS | |
|---|---|---|---|---|---|
| ___ | ___ | Members of the governing authority or general advisory committee | ___ | ___ | Administrative, professional and technical employees |
| ___ | ___ | The chief administrator | ___ | ___ | Aides or para-professionals, clerical and other support employees |
| ___ | ___ | Personnel administration coordinator | ___ | ___ | Employee representative(s) |
| ___ | ___ | Coordinator of volunteer service | ___ | ___ | Persons served and other consumers |
| ___ | ___ | Volunteers | | | |

*Comments:*

## 2. DEVELOPMENT OF POLICIES FOR PERSONNEL ADMINISTRATION

( ) 2.1 MAXIMUM COMMUNICATION. Provisions are made to maximize participation and communications in the development, review and dissemination of personnel policies.

( ) 2.1.1 Codification. Personnel policies are codified in writing and promulgated in media convenient for blind and visually handicapped persons.

( ) 2.1.2 Changes. Changes in policies are made known promptly in writing and are publicized.

*Comments:*

( ) 2.1.3 Initiating Changes. Procedures for initiating the development and review of personnel policies are set forth in writing.

( ) 2.1.4 Administrative Communications. The chief administrator takes steps to facilitate effective communications among all employees and administrative levels concerning personnel policies.

( ) 2.1.5 Open Channels. The chief administrator maintains open channels of communications about personnel policies with persons served and other consumers, employees and their representatives, volunteers, the personnel committee and the governing body or other authority.

*Comments:*

*(Note: Standards 2.2 through 2.3.2 are designed for evaluation of procedures utilized by organizations which possess internal authority to set personnel policies by virtue of articles of incorporation, bylaws, statute, executive order or judicial opinion.*

*Organizations which depend on an external authority such as a "parent agency" or other entity to set personnel policies should skip to standard 2.4 ).*

( ) 2.2 RESPONSIBILITY OF GOVERNING BODY. The governing body exercises responsibility and authority for approval of all personnel policies.

( ) 2.2.1 Committee. The governing body assigns responsibility to recommend personnel policies to a standing committee which includes balanced representation of a variety of interests.

*Comments:*

( ) 2.2.2 Procedures. The committee meets regularly and at least annually.

( ) 2.2.2.1 Personnel policies are reviewed regularly at stated intervals and whenever needed.

( ) 2.2.2.2 Minutes of each meeting are prepared, shared with the governing body and maintained in permanent files.

( ) 2.2.2.3 Employees and their representatives provide input to the committee on the development and revision of personnel policies.

*Comments:*

( ) 2.2.3 Promulgation of Policies. The governing body authorizes the promulgation of personnel policies in writing.

*Comments:*

( ) 2.3 DISTRIBUTION OF POLICIES. The chief administrator arranges for publication of multiple copies of the approved personnel policies.

( ) 2.3.1 Availability. The written personnel policies and procedures document (personnel manual) is made available readily to all employees and members of the governing body.

( ) 2.3.2 New Employees. Each new employee is afforded specific opportunities to become familiar with the personnel policies by being given access to them and is given opportunities to discuss and resolve any relevant questions.

*Comments:*

*(Note: Standards 2.4 through 2.4.3.2 are intended for evaluation of organizations which depend on an external authority for promulgation of personnel policies. Organizations which follow the policies set by a "parent agency" or other entity [e.g. state personnel department, merit system, etc.] should use these standards.*

*Organizations which have internal authority to set their own personnel policies, should utilize standards 2.2 through 2.3.2, above.)*

( ) 2.4 DISTRIBUTION OF POLICIES. The chief administrator provides multiple copies of the official personnel policies.

( ) 2.4.1 Availability. The written personnel policies and procedures document (personnel manual) is made available readily to all employees.

( ) 2.4.2 New Employees. Each new employee is afforded specific opportunities to become familiar with the personnel policies by being given access to them and is given opportunities to discuss and resolve any relevant questions.

*Comments:*

( ) 2.4.3 Executive Initiative. The chief administrator initiates and transmits to the proper authorities proposals for revision or augmentation of personnel policies to improve the quality of services provided to blind and visually handicapped persons.

( ) 2.4.3.1 Employees and their representatives are encouraged to bring suggestions for revising policies to the attention of the chief administrator.

( ) 2.4.3.2 When appropriate, support is sought from the organization's general advisory committee for proposed revision of personnel policies.

*Comments:*

## 3. PERSONNEL POLICIES

( ) 3.1 EMPLOYMENT POLICIES. Policies provide that recruitment, hiring, assignment and promotion practices are based on qualifications and abilities, including professional certification or licensing and legal requirements needed.

( ) 3.1.1 Equal Opportunity. All personnel actions (recruitment, hiring, assignment, promotion, transfer, layoff and termination) are conducted on the basis of equal opportunity without regard to the following characteristics *(check those specifically identified in written policy):*

___ Age
___ Sex
___ Religion or creed
___ Ethnic or national origin
___ Handicap for which reasonable accommodation can be made
___ Race or color
___ Marital status
___ Parenthood
___ Union membership
___ Membership in a consumer group

*Comments:*

( ) 3.1.2 Affirmative Action. The organization follows a written plan concerning all employment practices (recruitment, hiring, assignment, promotion, and transfer) which assures taking active steps to seek out qualified persons who are blind, visually handicapped or otherwise disabled.

( ) 3.1.2.1 The plan is reviewed at least every other year and kept up to date.

( ) 3.1.2.2 The affirmative action policy is appropriately publicized by conspicuous posting in various facilities and by specific reference in recruitment literature, advertisements, job listings, etc.

( ) 3.1.2.3 Copies of affirmative action materials are made available in media convenient for blind and visually handicapped persons.

*Comments:*

( ) 3.1.3 Conflict of Interest. Policy calls for employees to maintain "arms length" distance and to avoid actual, or even the appearance of, financial benefit from relationships with other agencies, commercial institutions or activities with which the organization does business.

( ) 3.1.3.1 The governing authority approves a written statement which defines conflict of interest situations to be avoided.

*Comments:*

( ) 3.1.4 Nepotism. Written policies specify those conditions under which more than one member of the same family may be employed by the organization without adversely affecting its operations.

( ) 3.1.4.1 In no case is supervision of one family member permitted by another member of the same family.

*Comments;*

( ) 3.1.5 Probationary Appointments. Probationary employment periods are utilized for new employees and may be used for those who are promoted, transferred or demoted.

( ) 3.1.5.1 The duration and conditions of probationary appointments are specified in writing to the employee.

( ) 3.1.5.2 Opportunities are provided during the probationary period for the employer and the employee to discuss and assess the desirability of continued employment in a specific position.

( ) 3.1.5.3 Probationary appointment policies are applied uniformly to all employees in similar conditions of employment.

( ) 3.1.5.4 Probation is concluded by a formal performance evaluation and a written decision as follows: retention of the employee on a regular basis; continuation of probation for a further definite period or termination of employment.

( ) 3.1.5.5 Other conditions of probationary employment are spelled out including any exceptions from personnel policies applying to other employees.

*Comments:*

( ) 3.1.6 Full-Time Employment. Full-time employment is defined by policy.

( ) 3.1.7 Part-Time Employment. Part-time employment is defined by policy.

( ) 3.1.7.1 Part-time employees engaged on a regular and continuing basis are covered by the same personnel policies and practices that apply to full-time employees unless specific exceptions are provided by policy.

*Comments:*

( ) 3.1.8 Temporary Employment. Personnel policies and practices are specified for employees engaged for work of limited duration.

( ) 3.1.9 Special Employment. Personnel policies and practices are specified for special categories of "employment" for student internships, paid student placements and other education and training programs.

*Comments:*

( ) 3.2 PERFORMANCE EVALUATION. Policy requires formal, written performance evaluation of employees at stated intervals and preceding major changes in employment status, assignment and supervision.

( ) 3.2.1 Discussion. Policy provides for discussion of the performance evaluation by employee and evaluator before the process is completed.

*Comments:*

( ) 3.3 COLLECTIVE BARGAINING. Policy assures employees the right, if they choose to exercise it, to organize and bargain collectively in accordance with law.

( ) 3.3.1 Negotiation. Policy calls for on-going readiness to negotiate with recognized or legally certified employee groups.

*Comments:*

( ) 3.4 JOB DESCRIPTIONS, CLASSIFICATION SYSTEM AND SALARY PLAN. Policy provides for written job descriptions for all positions, classifications of positions into classes of similar positions and the publication of salary ranges for all classes of positions.

( ) 3.4.1 Currency. Written job descriptions are kept current and made available to employees.

*Comments:*

( ) 3.5 HOURS OF WORK. A specific number of hours is established as the regular work week taking into account the following factors (*check those which are considered in establishing the regular work week*):

___ Applicable federal, state and local laws and regulations

___ Prevailing patterns in comparable governmental or voluntary organizations as well as the commercial sector

___ Established patterns for the particular type of work

*Comments:*

( ) 3.6 OVERTIME. Personnel policies include provisions concerning overtime.

( ) 3.6.1 Limitation. Frequent or excessive overtime is discouraged.

( ) 3.6.2 Administrative and Professional Employees. For administrative and professional employees, the conditions and compensation for necessary overtime are specified and include (*check those identified by policy*):

___ Designation of positions exempt from overtime pay

___ Conditions for compensatory time off

___ Conditions and rates of overtime pay when applicable

___ Mechanisms for authorization and approval

*Comments:*

( ) 3.6.3 Other Employees. The conditions of compensation for overtime of employees other than administrative and professional employees are specified in conformity with applicable labor laws and include (*check those included in policy*):

___ Designation of positions eligible for overtime pay

___ Pay rates for overtime, including dinner allowance

___ Mechanisms for authorization and approval

*Comments:*

( ) 3.6.4 Other Employment. Policy covers conditions of paid work with other employers including self-employment.

( ) 3.6.4.1 Such employment is permitted provided it does not interfere or conflict with the organization.

*Comments:*

( ) 3.7 HOLIDAYS. Paid holidays are observed in accordance with prevailing custom in the community and in state and federal establishments.

( ) 3.7.1 Twelve Month Employees. Employees who work on a twelve month basis are paid for holidays as specified by policy.

( ) 3.7.2 Employees Working Less Than Twelve Months. Employees who work on a basis which is less than twelve months a year enjoy the same holidays as twelve month employees during their regular period of employment.

*Comments:*

( ) 3.8 VACATIONS. A definite period of vacation with pay is earned by all employees.

( ) 3.8.1 Twelve Month Employees. Employees who work on the basis of twelve months a year accrue vacation leave for each full month of employment.

( ) 3.8.2 Other Employees. Policy provides for contractual provisions for vacation with pay for employees who work on any other basis.

( ) 3.8.3 Maximum Accumulation. A maximum is set for the number of unused vacation days which an employee may accumulate and carry over from one year to another.

*Comments:*

( ) 3.9 SICK LEAVE. Employees are permitted time off with pay when they are ill and unable to work.

( ) 3.9.1 Accrual. The rate at which sick leave accrues is specified.

( ) 3.9.2 Accumulation. Provision is made for employees to accumulate and carry over unused sick leave from one year to the next.

( ) 3.9.2.1 A maximum is set for the number sick leave days which an employee may carry over.

( ) 3.9.3 Medical Confirmation. Conditions requiring medical confirmation of illness or inability to work are specified by policy.

( ) 3.9.3.1 When medical confirmation is required, medical opinion is requested regarding only capacity to perform work or presence of serious communicable disease.

*Comments:*

( ) 3.10 PERSONAL OR EMERGENCY LEAVE. Provisions are specified for absence with pay for emergencies or other personal reasons, including religious holidays.

*Comments:*

( ) 3.11 LEAVE RELATED TO CHILDBIRTH. Policy specifies conditions for leave of absence with or without pay in relation to childbirth.

( ) 3.11.1 Duration. The maximum amount of such leave is specified in accordance with law or regulations.

( ) 3.11.2 Benefits Protection. Provision is made for protection of tenure, sick leave accumulation and participation in insurance and retirement programs.

*Comments:*

( ) 3.12 OTHER LEAVE OF ABSENCE. Conditions for the following other leaves of absence, are specified including whether such leaves are on a paid basis or not, provisions for protection of tenure, vacation, insurance and retirement plan coverage *(check those other types of leave which are covered by written policy)*:

___ Short term military leave for Reserves or National Guard

___ Extended military service for employees who are drafted, recalled or who enlist in the armed forces of the United States

___ Alternative service or detention of conscientious objectors

___ Educational leave for professional development

___ Jury duty without loss of income or vacation

___ Witness duty without loss of income or vacation, except when the employee is a litigant

*Comments:*

( ) 3.13 BUSINESS EXPENSES. Policy provides for reimbursement of authorized expenses incurred by an employee while carrying out regular assigned job responsibilities or while serving as an official representative of the organization at a convention or other meeting.

*Comments:*

( ) 3.14 INSURANCE PROTECTIONS. A variety of insurance protections is provided for income maintenance, assisting in meeting the costs of medical care, and liability arising from possible malpractice and use of the organization's premises or equipment including motor vehicles.

( ) 3.14.1 Mandatory Insurances. The organization participates in the following insurance programs as required by law *(check those included):*

___ Disability insurance

___ Social Security

___ Unemployment insurance

___ Workmen's compensation

*Comments:*

( ) 3.14.2 Other Insurances. Other insurances are provided or made available for employees and their families and for protection of the organization.

*Supplementary Information: Check the following types of insurance provided at the organization's expense or made available on the basis of employee contribution to all or part of the costs:*

___ *Hospitalization of employee*

___ *Hospitalization of employee's family*

___ *Medical outpatient services for employee*

___ *Medical outpatient services for employee's family*

___ *Dental services for employee*

___ *Dental services for employee's family*

___ *Accidental death, dismemberment and blindness*

___ *Life insurance*

___ *Professional services malpractice*

___ *Liability protection in relation to use of premises or equipment*

___ *Automobile liability for official use*

___ *Major medical coverage for employees*

___ *Major medical coverage for employee's family*

___ *Long-term disability*

___ *Additional retirement income benefits (see 3.15.3,ff)*

*Comments:*

( ) 3.15 TERMINATION OF EMPLOYMENT. Policy clearly states all conditions and procedures for termination of employment.

( ) 3.15.1 Suspension, Layoff, Dismissal or Demotion. Policies for suspension, layoff, dismissal or demotion specify employee protections and are consistent with the employer's right to take such personnel actions for good and sufficient causes.

( ) 3.15.1.1 Formal performance evaluation is conducted prior to such action.

( ) 3.15.1.2 Provision is made for the affected employee or employee representative to appeal such personnel action.

( ) 3.15.1.3 Conditions for severance pay are specified.

( ) 3.15.1.4 Provisions for giving advance notice are defined.

( ) 3.15.1.5 An orderly process is followed for achieving work force reduction, when necessary, taking into account, when more than one employee is affected, considerations such as seniority, essentiality of the position and the possibility of reassignment.

( ) 3.15.1.6 Employees are informed of such actions in writing and a copy is filed in the employee's personnel record.

*Comments:*

( ) 3.15.2 Resignation. The following conditions are specified for an employee's resignation to be considered "in good standing" *(check those which are specified):*

___ Resignation is preceded by a written notice from the employee

___ The amount of time for such advance notice is clearly indicated for various categories of employees

___ In the case of employees who work on an annual contractual basis, a specific date is included in the contract as the time by which advance notice of resignation is expected

___ Resignation is acknowledged in writing to the employee

___ Written communications concerning resignation and the reasons therefor and filed in the employee's personnel record

*Comments:*

( ) 3.15.3 Retirement. Policy specifies normal retirement age and also includes provisions for *(check those included)*:

___ Early retirement

___ Employment to age 70 consistent with the provisions of the federal *Age Discrimination in Employment Act*.

___ Participation in the federal Social Security Program (FICA) or another, comparable government retirement program

___ A nongovernmental retirement income benefit plan

___ A tax-deferred, supplemental retirement income benefit option

*Comments:*

( ) 3.15.3.1 A retirement income benefit plan in addition to Social Security is provided for employees which includes the following provisions *(check those included)*:

___ Noncontributory funding which requires no expense to the employee

___ Defined benefit retirement income based on the employee's average salary in the final period of employment

___ An easy-to-understand written description of the plan for each employee's personal reference

___ Designation of an informed employee to answer questions from employees about the terms and conditions of the plan

___ Annual reporting of the accrued and projected retirement income benefits to each covered employee

___ Conformity with applicable provisions of the federal *Employee Retirement Income Security Act*

*Comments:*

( ) 3.15.3.2 A supplemental retirement income option is made in those agencies which qualify under the U. S. Internal Revenue Service regulations.

*Comments:*

( ) 3.15.3.3 Vesting is provided for employees as soon as feasible after they enter the plan.

*Supplementary Information. Check when employees are fully vested:*

___ *Upon entrance into the retirement plan*

___ *Within a period of five years*

___ *Within a period of over five years but not more than ten years*

*Comments:*

( ) 3.16 APPEALS (GRIEVANCE) POLICIES. Provisions are made for an employee, including one whose employment has been terminated, to appeal any personnel action with which the employee is dissatisfied as specified below *(check those provisions included in the written appeals procedure)*:

___ A sequence of steps for appeal to higher levels of decision with clearly defined time frames for responses by the employee and management

___ Clear identification of the person or group having authority to make the final decision

___ Fair hearing and other due process protections, including representation by an employee organization (where present) and third-party assistance in resolving disputes

___ Timeliness in processing the appeal

___ An appealed decision in favor of the employee is retroactive as of the date of the original personnel action

___ An appealed decision in favor of the organization is effective as of the date of the original personnel action

___ The final decision is given to the appellant in writing

___ Written communications concerning the appeal are filed in the employee's personnel record

*Comments:*

## 4. IMPLEMENTATION OF PERSONNEL POLICIES

*(Note: policies and procedures pertaining to the employment, authority and responsibilities of the chief administrator in relation to personnel administration are evaluated in Section C-1, Function and Structure,* standards 3.1 - 3.4.)

( ) 4.1 ORGANIZATION. Implementation of personnel policies and practices is clearly and purposefully organized.

( ) 4.1.1 Staffing for Personnel Administration. One or more employees are assigned clearly delineated duties and responsibilities for various functions of personnel administration.

*Supplementary Information. Indicate below the positions responsible for various aspects of personnel administration:*

| *Job Title* | *Functions* |
|---|---|
| _____ | *Maintaining individual personnel files* |
| _____ | *Notifying the preparer(s) of payroll of new hires and termination of employment, compensation, overtime, leaves, etc.* |
| _____ | *Maintaining a central file of job descriptions and job classifications* |
| _____ | *Monitoring relations with insurers, keeping abreast of coverage changes and assisting employees in filing claims* |
| _____ | *Keeping records concerning affirmative action activities* |
| _____ | *Assisting in the orientation of new employees about personnel policies and practices* |
| _____ | *Coordination of the staff development activities* |

*Comments:*

( ) 4.2 JOB DESCRIPTIONS. Each distinct position has a written job description with specifications clearly related to the job requirements and containing the following components *(check those which are included in each job description):*

___ Specific job title

___ Grade level within the job classification system

___ Departmental location

___ Job title of immediate supervisor

___ Description of duties and responsibilities

___ Statement of the amount of judgment exercised

___ Statement of the span of control for supervisors

___ Standards of quality and quantity of performance

___ Educational qualifications

___ Amount and type of experience needed

___ Certificates or licenses required

___ Date job description was approved

*Comments:*

( ) 4.2.1 Qualifications. Qualifications of education, experience, certification and licensing are established in each job description which are commensurate with applicable standards of the National Accreditation Council, state regulations and other relevant national bodies.

*Comments:*

( ) 4.2.2 Development and Review. New job descriptions are developed when needed and existing ones are reviewed and updated at least every two years to reflect current conditions.

( ) 4.2.2.1 Provision is made for participation of employees and their representatives, the governing authority or other appropriate authority in the development, revision and approval of job descriptions.

*Comments:*

( ) 4.3 JOB CLASSIFICATION SYSTEM. A written job classification system is maintained and available to staff.

( ) 4.3.1 Classes. Positions are grouped into classes containing positions of similar duties, responsibilities and qualifications.

( ) 4.3.2 Arrangement of Classes. Classes of positions are grouped in orderly sequence.

( ) 4.3.3 Classification and Reclassification. Positions are classified, reviewed and reclassified as needed.

*Comments:*

( ) 4.3.4 Salary Ranges. Salary ranges for all classifications of positions are established in writing and available to employees.

( ) 4.3.4.1 Ranges are commensurate with the nature of the position and take the following considerations into account *(check those which are considered in determining salary ranges):*

___ The qualifications required

___ The amount of knowledge, skill and experience expected

___ The location of the position in the line of authority

___ The amount of responsibility and judgment involved

___ The diversity and complexity of duties

*Comments:*

( ) 4.3.4.2 Salaries are fair and equitable and take into account the following considerations *(check those that are reflected in the salary ranges):*

___ Prevailing rates for similar work

___ National and local salary patterns

___ Applicable legal requirements

___ Recommendations of professional organizations for employees' respective professions

___ Merit as reflected in performance evaluations

___ Changes in productivity

___ Changes in the cost of living

___ Long term retention of productive "career" employees

*Comments:*

( ) 4.3.4.3 Provision is made for periodic review of individual salaries by an established procedure.

( ) 4.3.4.4 Similar pay is given for substantially similar work without regard to sex, race, color, handicap, marital status, religion or creed, ethnic or national origin or membership in a union or in a consumer organization.

*Comments:*

( ) 4.3.4.5 Provisions are made for regular review of salary ranges by the governing authority with the participation of the chief administrator and other employees and their representatives.

*Comments:*

( ) 4.4 EMPLOYMENT PROCEDURES. The personnel policies define procedures for hiring, assignment and promotion of employees.

( ) 4.4.1 Delegation of Authority by Chief Administrator. All authority delegated by the chief administrator for recruitment, hiring assignment and promotion of employees is clearly established and designated.

*Comments:*

( ) 4.4.2 Recruitment. Recruitment is conducted in accordance with generally accepted ethical practices.

( ) 4.4.2.1 First consideration is given to promotion or relocation of qualified employees in filling vacancies.

( ) 4.4.2.2 Employees are notified of vacancies and procedures for making application.

*Comments:*

( ) 4.4.3 Affirmative Action. All steps in the organization's written affirmative action plan, including acceptance of financial responsibility for reasonable accommodation, are taken to assure that the maximum number of qualified individuals who are blind, visually handicapped or otherwise handicapped or disadvantaged have opportunities to apply for vacant positions.

*Comments:*

( ) 4.4.4 Information Provided to Applicants. Applicants are provided with the written job description of the position to be filled.

( ) 4.4.4.1 Applicants are provided with other pertinent facts including any anticipated changes in the organization's function and structure and funding that may have a direct bearing on the length and conditions of employment.

( ) 4.4.4.2 Applicants are advised of the expectation that they inform the organization of any current or anticipated conditions that may have a direct bearing on the ability or availability to fulfill the duties of the position.

*Comments:*

( ) 4.4.5 References. Written references are sought, whenever feasible, as part of the process of evaluating a candidate.

( ) 4.4.6 Travel Expenses. Reasonable and authorized travel expenses are met for applicants specifically invited for interviews.

( ) 4.4.6.1 Conditions and terms for authorization of relocation expenses for new employees are made known to applicants.

*Comments:*

( ) 4.4.7 Pre-employment Medical Examination. If a report of medical examination is required before employment, the organization pays for it.

*Comments:*

( ) 4.4.8 Appointment Letter. Appointment to a position is made by letter which includes the following *(check those included):*

___ Job title

___ Description of duties

___ Identification of immediate supervisor

___ Job classification

___ Starting salary and range

___ Probationary period

___ Date, time and place for starting work

___ Benefits and options available

___ Special conditions of employment including provisions for reasonable accommodation for a handicapped employee

*Comments:*

( ) 4.4.9 Acceptance of Employment. Written acceptance of the employment offer is secured from the candidate.

( ) 4.4.10 Records. All written communications concerning hiring, assignment or reassignment and promotion of employees are filed in the employee's personnel record.

*Comments:*

( ) 4.5 PERFORMANCE EVALUATION PROCEDURES. Specific procedures are followed for formal evaluation of employee performance.

( ) 4.5.1 Scope. The evaluation encompasses job performance in relation to the standards of quality and quantity of work set forth in the job description and specific objectives contained in the last performance evaluation.

*Comments:*

( ) 4.5.1.1 The evaluation establishes performance objectives for the next evaluation period.

( ) 4.5.1.2 The evaluation may extend to other relevant factors as follows *(check those which are included in evaluations):*

___ Relationships with other staff, volunteers and persons served

___ Initiative and willingness to accept responsibility

___ Personal conduct, on or off the job, which affects the organization and the persons served

___ Readiness for more challenging work experiences

___ Adherence to established professional ethics

*Comments:*

( ) 4.5.2 Timing of Evaluations. Formal performance evaluations are conducted cyclically and on other meaningful occasions including *(check those times requiring formal performance evaluations):*

___ At the conclusion of the probationary employment period

___ At anniversary dates of employment and when periodic reviews of individual salaries take place

___ Regularly, in relation to fiscal and program planning cycles

___ When the employee or the supervisor is reassigned or resigns

___ When a significant positive or negative change has been noted in the employee's performance

___ When needed for administrative purposes

*Comments:*

( ) 4.5.3 Notification. Notice is given to the employee before the evaluation including the period to be covered by it.

( ) 4.5.4 Participation. The evaluation begins with the participation of both the employee and the immediate supervisor.

( ) 4.5.4.1 Final authority for approval of the evaluation rests with the organization's chief administrator.

*Comments:*

( ) 4.5.5 Written Form. The performance evaluation is prepared in writing in accordance with the following procedures *(check those included):*

___ The employee participates in preparing the evaluation

___ The employee is given the opportunity to read and discuss the evaluation before it is made final

___ Provision is made for the employee to sign the evaluation to indicate agreement or disagreement with all or part of it

___ The employee may append a written statement of clarification or disagreement with any parts of the evaluation

___ The employee is given a copy of the final, approved report

___ The final evaluation report and the employee's appended statement, if any, is filed in the employee's personnel record

*Comments:*

( ) 4.6 EMPLOYEE'S PERSONNEL RECORD. A confidential personnel record is maintained for each employee for filing of the following documents pertaining to employment status and job performance *(check those documents which are included in the employee's file):*

___ Personal and work history form or application form

___ Who to notify in case of emergency

___ Copies of certificates to practice

___ Letter of reference from previous employers

___ Letters of appointment

___ Performance evaluations

___ Record of time and attendance including sick leave, vacation and other absences

___ Authorizations for change in assignment, job classification and pay

___ Copies of communications pertaining to termination of employment (layoff, dismissal, resignation and retirement)

___ Copies of references provided to others on current or former employees

___ Copies of communications pertaining to appeals of personnel actions

*Comments:*

( ) 4.6.1 Confidentiality of Records. Personnel records are filed securely and are available only to persons who are authorized to have access to them in accordance with applicable laws and regulations.

( ) 4.6.1.1 The person designated to maintain the employee personnel files keeps a record of others who obtain access to individual files.

( ) 4.6.1.2 Employees are given access to their own file on request with the exception of references received from outside the organization.

( ) 4.6.1.3 If personnel data are stored in computeres, provisions are made to protect confidential information.

*Comments:*

( ) 4.6.2 References. Upon request, the organization provides written references to prospective employers and to other appropriate officials concerning current employees, and, for a reasonable period of time, former employees, according to the following rules *(check those of the following which are included in the written procedures governing references):*

___ References are factually correct and include at least dates of employment, position(s) held and responsibilities.

___ References are limited to material in the subject's personnel record which has been made known to the employee during the course of employment with the organization

___ Upon request, a copy of the letter of reference is made available to the employee or former employee.

*Comments:*

( ) 4.7 STAFF DEVELOPMENT. Staff development activities are planned and provided for all departments, programs and categories of employees.

( ) 4.7.1 Coordination. An employee is given responsibility for coordinating these efforts and assuring that staff development needs of all employees are identified and met.

( ) 4.7.1.1 Department or program heads, supervisors and other employees participate in planning staff development activities related to their needs.

( ) 4.7.1.2 Funds for staff development are included in the annual operating budget of the organization.

*Comments:*

( ) 4.7.2 Inservice Training. The staff development plan includes opportunities for learning experiences conducted during working hours.

( ) 4.7.2.1 Inservice training covers topics of particular interest and concern to employees in appropriate program groupings.

( ) 4.7.2.2 Topics are included to help employees keep up to date with new developments pertaining to work assignments.

( ) 4.7.2.3 Resource persons from within and outside the organization are engaged to provide inservice training.

*Comments:*

( ) 4.7.3 Professional Development. The staff development plan makes provisions for personnel to be able to benefit from informal educational opportunities such as workshops, seminars, activities of professional associations and non-credit continuing education programs.

( ) 4.7.3.1 Procedures are established for allocation of budgeted expense monies for professional development.

*Comments:*

( ) 4.7.4 Formal Education. Staff development opportunities are provided for enrollment in credit-bearing college or university courses and continuing education programs under specified conditions including the following *(check those which are specified):*

___ Identification of when leave of absence is granted

___ Specification of maximum duration of such leave of absence

___ Qualifications for giving full or partial pay

___ Provisions for protection of employees' status, tenure, rights to sick leave, vacation, retirement and other benefits

___ Circumstances when full or partial costs for tuition and related expenses are met

___ Provisions for rearrangement of work schedules, when feasible, for part-time study during regular working hours

*Comments:*

( ) 4.7.5 Professional References. The organization maintains a file or collection of classic and current professional reference books, pamphlets and periodicals.

( ) 4.7.5.1 A person is designated to maintain the file.

( ) 4.7.5.2 A reasonable amount of money is budgeted for additions to the file.

*Comments:*

( ) 4.8 SUPERVISORY PATTERN. The overall staffing plan for the organization makes provision for direct supervision of all employees.

( ) 4.8.1 Scope of Supervision. Supervisors are responsible for both administrative and professional supervision, whenever possible.

( ) 4.8.1.1 To the maximum extent feasible, professional employees are supervised by supervisors qualified in the same profession or discipline.

( ) 4.8.1.2 If supervision is not available from the same profession or discipline, the organization makes arrangements for outside consultation on professional matters.

*Comments:*

( ) 4.8.2 Span of Control. Provisions are made to define how many subordinate positions may be supervised by each supervisory position to achieve optimum effectiveness and accountability.

*Comments:*

( ) 4.9 ETHICAL CONSIDERATIONS. Policies outline rules of ethics to be observed by employees including the following *(check those specified)*:

___ Respect for the dignity and worth of blind and visually handicapped persons

___ Proper handling of confidential information

___ Conservation of the organization's material resources

___ Adherance to the standards and codes of ethics of the individual's profession

*Comments:*

( ) 4.10 STAFF TURNOVER. The rate of staff turnover is monitored and the reasons for excessive staff turnover are identified and corrected.

*Comments:*

( ) 4.11 PERSONNEL MANUAL. A written manual presents approved personnel policies and procedures including the following *(check those topics which are covered in the manual):*

___ Description of the organization
___ Philosophy of service
___ History of the organization
___ Organization chart
___ Equal opportunity policy
___ Affirmative action policy
___ Performance Evaluation
___ Job classification and salary plan
___ Hours of work
___ Overtime
___ Holidays
___ Vacations
___ Sick leave
___ Personal or emergency leave
___ Leave related to childbirth
___ Other leave of absence
___ Insurances
___ Layoff, demotion and dismissal
___ Resignation
___ Retirement
___ Appeals (grievance) procedures
___ Employee's personnel record
___ Staff development
___ Ethical considerations
___ Employees' right to organize and bargain collectively

*Comments:*

( ) 4.11.1 Description of the Organization. The personnel manual contains a description of the organization.

( ) 4.11.1.1 The organization's statement of philosophy of service is included.

( ) 4.11.1.2 A history of the organization's is included.

( ) 4.11.1.3 The organization chart portraying a summary of the structure, lines of responsibility, authority and communications is included.

*Comments:*

## 5. DEVELOPMENT OF POLICIES FOR VOLUNTEER SERVICE

*(Note: parts 5, 6 and 7 of this section are used to evaluate the use of volunteers who assist in direct service programs or who help maintain support functions such as clerical work. These standards do not apply to participation by volunteers as members of governing or advisory bodies and committees. Applicable standards for such participation are in Section C-1, Function and Structure.)*

*Does the organization utilize a total of ten or more volunteers on a regular basis to assist in providing direct or support services? (check one):*

___ *Yes* ___ *No*

*If yes, parts 5, 6 and 7 should be completed. If no, skip to part 8.*

### *UTILIZATION OF VOLUNTEERS BY PROGRAM*

*Supplementary information. In the following chart, indicate whether or not volunteers are utilized by the administrative and service programs included in the self-study. For those sections not included in the self-study, insert "n/a".*

| *Volunteers Utilized ?* | | *Administrative or Service Program* | *Self-Study Section Number* |
|---|---|---|---|
| *Yes* | *No* | | |
| ___ | ___ | *Accounting for Services* | *C-2* |
| ___ | ___ | *Accounting for Finances* | *C-2* |
| ___ | ___ | *Personnel Administration* | *C-3* |
| ___ | ___ | *Volunteer Service Administration* | *C-3* |
| ___ | ___ | *Management of Physical Facilities* | *C-4* |
| ___ | ___ | *Public Relations* | *C-5* |
| ___ | ___ | *Fund Raising* | *C-5* |
| ___ | ___ | *Orientation and Mobility Services* | *D-2A or D-2B* |
| ___ | ___ | *Rehabilitation Center Services* | *D-3* |
| ___ | ___ | *Workshop Services* | *D-4* |
| ___ | ___ | *Social Services* | *D-5* |
| ___ | ___ | *Vocational Services* | *D-6* |
| ___ | ___ | *Production of Reading Materials* | *D-7* |

## UTILIZATION OF VOLUNTEERS BY PROGRAM

(continued from preceding page)

| Volunteers Utilized ? | | Administrative or Service Program | Self-Study Section Number |
|---|---|---|---|
| Yes | No | | |
| ___ | ___ | Rehabilitation Teaching Services | D-8 |
| ___ | ___ | Low Vision Service | D-9 |
| ___ | ___ | Preschool Services | D-15 |
| ___ | ___ | Curriculum Planning and Evaluation | D-20 |
| ___ | ___ | Program for Multihandicapped Students | D-21 |
| ___ | ___ | Program for K-12 Students | D-22 |
| ___ | ___ | Program for Independent Living | D-23 |
| ___ | ___ | Educational Resources Program | D-24 |
| ___ | ___ | Leisure Education | D-25 |
| ___ | ___ | Residential Living Program | D-26 |
| ___ | ___ | Health Services | D-27 |
| ___ | ___ | Educational Diagnostic and Counseling Services | D-28 |
| | | Other (specify) | |
| ___ | ___ | _____ | D-16.1 |
| ___ | ___ | _____ | D-16.2 |
| ___ | ___ | _____ | D-16.3 |

Comments:

( ) 5.1 MAXIMUM COMMUNICATION. Provisions are made to maximize communications in the development, review and dissemination of volunteer service policies.

( ) 5.1.1 Codification. Volunteer service policies are codified in writing and promulgated in media convenient for blind and visually handicapped persons.

( ) 5.1.2 Changes. Changes in volunteer service policies are made known in writing promptly and are publicized.

*Comments:*

( ) 5.1.3 Initiating Changes. Procedures for initiating the development and review of volunteer service policies are in writing.

( ) 5.1.4 Administrative Communications. The chief administrator takes steps to facilitate effective communications among all volunteers, employees and administrative levels concerning volunteer service policies.

( ) 5.1.5 Open Channels. The chief administrator maintains open channels of communications about volunteer service policies with persons served and other consumers, employees and their representatives, volunteers, the volunteer service committee and the governing body or other authority.

*Comments:*

( ) 5.2 RESPONSIBILITY OF GOVERNING AUTHORITY. The governing authority exercises responsibility and authority for approval of all volunteer service policies.

( ) 5.2.1 Committee. The governing authority assigns or arranges for the assignment of responsibility to recommend volunteer service policies to a standing committee which includes balanced representation of a variety of interests.

*Comments:*

( ) 5.2.2 Procedures. The committee meets regularly, and at least annually.

( ) 5.2.2.1 Volunteer service policies are reviewed at stated intervals and whenever needed.

( ) 5.2.2.2 Minutes of each meeting are prepared and shared with the governing authority and maintained in permanent files.

( ) 5.2.2.3 Volunteers and employees and their representatives are encouraged to provide input to the committee on the development and revision of volunteer service policies.

*Comments:*

( ) 5.3 DISTRIBUTION OF POLICIES. The chief administrator arranges for the publication of multiple copies of the approved volunteer service policies.

( ) 5.3.1 Availability. The written volunteer service policies document (volunteer manual or handbook) is made available readily to all volunteers, employees and the governing authority.

( ) 5.3.2 New Volunteers. Each new volunteer is afforded specific opportunities to become familiar with the volunteer service policies by being given access to them and is given opportunities to discuss and resolve any relevant questions about them.

*Comments:*

## 6. VOLUNTEER SERVICE POLICIES

( ) 6.1 SELECTION POLICIES. Policies provide that recruitment, selection, assignments and reassignments are based on qualifications and abilities for satisfactory job performance.

( ) 6.1.1 Equal Opportunity. Policies provide for equal opportunity for participation in volunteer service without regard for the following characteristics *(check those specifically identified in written policy):*

___ Age

___ Sex

___ Religion or creed

___ Ethnic or national origin

___ Handicaps for which reasonable accommodation can be made

___ Race or color

___ Marital status

___ Parenthood

___ Socioeconomic status

___ Union membership

___ Membership in a consumer group

*Comments:*

( ) 6.1.2 Affirmative Action. The organization follows a written plan in relation to volunteers which includes taking steps to assure affirmative action when seeking and assigning qualified individuals who are blind, visually handicapped or otherwise disabled.

( ) 6.1.2.1 The plan is reviewed at least every other year and kept up to date.

( ) 6.1.2.2 The affirmative action policy is appropriately publicized by conspicuous posting in various facilities and by specific reference in recruitment literature, advertisements, job listings, etc.

( ) 6.1.2.3 Copies of affirmative action materials are made available in media convenient for blind and visually handicapped persons.

*Comments:*

( ) 6.1.3 Conflict of Interest. Policy calls for volunteers to maintain "arms length" distance and to avoid actual, or even the appearance of, financial benefit from relationships with other agencies, commercial institutions or activities with which the organization does business.

( ) 6.1.3.1 The governing authority approves a written statement which defines conflict of interest situations to be avoided.

*Comments:*

( ) 6.1.4 Job Descriptions. Duties suitable for volunteers are systematically analyzed and appropriate written job descriptions are prepared which include the following components *(check those which are included in volunteers' job descriptions)*:

___ Specific job title

___ Departmental location

___ Job title of immediate supervisor

___ Statement of the amount of judgement exercised

___ Educational qualifications

___ Amount and type of experience needed

___ Date job description was approved

*Comments:*

( ) 6.1.5 Assignment Policies. Policies governing placement of volunteers in particular jobs include the following *(check those which are set forth):*

___ Description of methods of assessment of volunteer's aptitudes for various assignments which are available

___ Duration and conditions of a trial period

___ Time expectations for the various assignments

___ Provision of opportunities for volunteers to take on varied duties and increased responsibilities

___ Procedures for changing assignment

___ Conditions and procedures for termination from the volunteer service program

*Comments:*

( ) 6.1.6 Orientation and Training. Provisions are made for general orientation of new volunteers, training for specific assignments, and inservice or refresher training.

( ) 6.1.7 Training for Specific Assignments. Policy calls for providing volunteers with any special training needed before specific assignments are undertaken.

*Comments:*

( ) 6.1.8 Ethical Considerations. Policies outline rules of volunteer ethics including *(check those which are outlined):*

___ Respect for the dignity and worth of blind and visually handicapped persons

___ Proper handling of confidential information

___ Understanding of the volunteer-staff team relationship

*Comments:*

( ) 6.1.9 Supervision. Adequate supervision of volunteers is provided and the channels for resolving any difficulties which may arise are specified.

( ) 6.1.10 Performance Evaluation. Policy provides for periodic evaluation of individual volunteer's performance.

*Comments:*

( ) 6.1.11 Hours of Work and Absences. The general schedule of hours of volunteer service is included in the manual.

( ) 6.1.11.1 Insofar as feasible, a regular schedule is maintained to suit the interests of the volunteer and the organization.

( ) 6.1.11.2 Procedures are established for the volunteer to report unavailability for a particular shift or assignment.

*Comments:*

( ) 6.1.12 Change of Assignment. Conditions and procedures are specified for change of assignment, initiated by the volunteer or by the organization.

*Comments:*

( ) 6.1.13 Recognition Program. Policies concerning recognition of individual volunteer's service are developed and implemented.

( ) 6.1.13.1 Specific conditions for recognition include *(check those conditions which are specified)*:

___ Hours of work

___ Length of service (e.g. years)

___ Quantity of work

___ Contribution to the organization and the community

*Comments:*

( ) 6.1.13.2 Provision is made for distinctive recognition to deserving volunteers.

( ) 6.1.13.3 The organization's governing authority sanctions and participates actively in recognition of volunteer service.

*Comments:*

( ) 6.1.14 Forms and Reports. Instructions for completing needed forms or reports are available in media convenient for blind and visually handicapped persons.

*Comments:*

## 7. IMPLEMENTATION OF VOLUNTEER SERVICE POLICIES

( ) 7.1 ORGANIZATION. Implementation of volunteer service policies and practices is clearly and purposefully organized.

*Comments:*

( ) 7.2 STAFFING. An employee is assigned to coordinate and direct the program for volunteer service.

( ) 7.2.1 Qualifications. The organization employs as coordinator of volunteer service a person who meets qualifications stated in the job description for this position.

( ) 7.2.1.1 The coordinator of volunteer service is a graduate of an accredited four-year college or university or has had equivalent experience.

( ) 7.2.1.2 The coordinator has had successful administrative or supervisory experience in a paid or volunteer capacity.

( ) 7.2.1.3 The coordinator has demonstrated abilities including those needed to *(check those which are specified):*

___ Recruit and train volunteers for responsible service

___ Maintain an efficient and effective program

___ Work cooperatively with employees in other departments

___ Inform the public of the work of volunteers

*Comments:*

( ) 7.2.2 Other Administrative and Technical Staff. Other administrative and technical employees are available as needed to assist the coordinator of volunteer service.

( ) 7.2.3 Clerical Staff. Clerical support is made available which meets the needs of the volunteer service program.

*Comments:*

( ) 7.3 RECRUITMENT. Procedures are devised and implemented to recruit volunteers based on established need.

( ) 7.3.1 Need. Need for volunteer service is established through the organization's formal planning processes.

( ) 7.3.1.1 The extent of the need for volunteers is stated realistically and not exaggerated in recruitment publicity.

( ) 7.3.1.2 Specific assignment openings are available when volunteers are recruited.

( ) 7.3.2 Community Resources. The use of existing and acceptable community volunteer recruitment resources is explored before the organization initiates an independent recruitment program.

*Comments:*

( ) 7.4 SCREENING AND SELECTION. Provision are made for orderly and efficient screening and selection of volunteers.

( ) 7.4.1 Interviews. The coordinator of volunteers arranges for individual interviews with applicants.

( ) 7.4.2 Selection Criteria. Volunteers are selected on the basis of their interest, knowledge, experience and availability and in accordance with the following *(check those policies which are applied in selection of volunteers):*

___ Equal opportunity policy

___ Affirmative action policies and procedures

___ Policy on avoidance of conflict of interest

___ Policy on matching volunteer applicants with specific job assignments

*Comments:*

( ) 7.5 ORIENTATION. Thorough orientation is given to new volunteers.

( ) 7.5.1 Curriculum. The orientation course is based on a written curriculum which includes the following topics *(check those which are included in the orientation course):*

___ Presentation and discussion of the organization, its functions, structure and service programs

___ Review and discussion of the policies and other materials in the volunteer manual

___ Observation of other volunteers at work

___ Instruction about the impact of blindness or visual handicap on behavior and attitudes

___ Description of specific assignments available and the related standards of quality and quantity of service

___ Explanation of forms and reports which may be needed on the job

*Comments:*

( ) 7.6 TRAINING. Volunteers are provided training for new assignments and for purposes of sharpening skills and keeping up to date with new developments.

( ) 7.6.1 Training for Specific Assignment. Initial training for a specific assignment is provided by a knowledgeable employee assigned to that administrative or service program or by another informed volunteer.

*Comments:*

( ) 7.6.2 Inservice Training. Provision is made for an on-going program of inservice training for volunteers.

( ) 7.6.2.1 When appropriate and feasible, volunteers participate in inservice training activities for employees.

*Comments:*

( ) 7.6.2.2 With appropriate input from volunteers and employees, the coordinator of volunteers is involved in the planning and provision of inservice training which includes a variety of topics related to volunteer assignments.

*SUPPLEMENTARY INFORMATION: Check those topics which have been included in inservice training for volunteers in the last fiscal year:*

___ *Procedures and techniques which foster respect and dignity for persons who are blind and visually handicapped*

___ *Information on the effects of blindness and visual handicap on behavior and and performance*

___ *Training designed to maintain and sharpen skills*

___ *Presentation of new policies, procedures and techniques*

___ *Safety and emergency procedures*

___ *Other useful and timely topics (describe)*

*Comments:*

( ) 7.7 SUPERVISION. The organization's staffing plan provides for adequate supervision of volunteers.

( ) 7.7.1 Role of Coordinator of Volunteers. The coordinator of volunteers exercises administrative responsibility for all volunteers.

( ) 7.7.2 Role of Other Staff. Each volunteer is supervised by a specifically designated employee on each assignment.

( ) 7.7.2.1 The supervisor helps each volunteer to develop and use knowledge and skills pertinent to the assignment.

( ) 7.7.2.2 The supervisor regularly observes volunteers on the job and assists them through individual and group conferences to improve their work.

( ) 7.7.2.3 The supervisor reports on each volunteer's work, dependability, suitability and need for inservice training according to procedures promulgated by the coordinator of volunteers.

*Comments:*

( ) 7.8 PERFORMANCE EVALUATION. At regular intervals, the performance of each volunteer is reviewed jointly by the volunteer and the immediate supervisor according to established procedures.

( ) 7.8.1 Evaluation Report. A written report of the evaluation is made.

*Comments:*

( ) 7.8.2 Scope of the Evaluation. The evaluation is made in relation to the standards for quality and quantity of work contained in the volunteer job description and also includes the following *(check those regularly included in performance evaluations):*

___ Relationships with other volunteers, employees and persons served

___ Capability and suitability for the particular assignment

___ Readiness for more challenging volunteer experiences

___ Personal conduct, both on and off the job, which is either advantageous or detrimental to the organization

___ Adherance or departure from established policies and procedures

___ Amount and dependability of service

*Comments:*

( ) 7.8.3 Procedure. The volunteer is provided with an opportunity to review the completed evaluation report, to sign that it has been read and to append a statement of clarification of any points in disagreement with the evaluation.

( ) 7.8.3.1 The approved evalaution report is filed in the individual volunteer's record.

*Comments:*

( ) 7.9 TERMINATION PROCEDURES. Causes and procedures for termination of a volunteer from the volunteer service program are specified and include *(check those which are included):*

___ Unsatisfactory job performance recorded in a written performance evaluation prior to termination

___ Specific medical conditions certified by qualified medical authorities which impede volunteer work or which may be detrimental to others

___ Commission of specified acts which are inimical to the best interests of the organization

___ Notice of termination is given in person, confirmed in writing to the volunteer and a copy of the notice is filed in the individual volunteer's record

*Comments:*

( ) 7.10 INDIVIDUAL VOLUNTEER RECORDS. A secure record is maintained for each volunteer containing pertinent documents and information including *(check those which are included in these records):*

___ Application or registration form

___ Types of training provided to the volunteer

___ Assignments carried by the volunteer

___ Hours of work

___ Performance evaluations

___ Who to notify in an emergency

___ Recognition awards earned, if any

*Comments:*

( ) 7.11 AFTER-HOURS PROCEDURES. If volunteers are on duty outside of the work hours of the coordinator of volunteers or other volunteer service employees, information and procedures are devised for the filling of last minute cancellations and who to notify in case of emergency.

*Comments:*

( ) 7.12 EXPENSES. Procedures and conditions are established for prompt reimbursement of authorized expenses incurred by volunteers in carrying out their assigned duties.

*Comments:*

( ) 7.13 INSURANCE. The organization provides insurance protections in relation to volunteer service including *(check those included):*

___ Assistance in meeting the costs of medical care for volunteers who are injured while on duty

___ Protection for the organization and volunteers from liability arising from possible malpractice and use of the organization's premises and equipment

___ Automobile liability for official use

*Comments:*

( ) 7.14 FACILITIES, MATERIALS AND EQUIPMENT. Adequate facilities, materials and equipment are available for the volunteer service program.

( ) 7.14.1 The coordinator of volunteer service has a separate office.

( ) 7.14.2 Lockers or other private storage space are provided for personal belongings of volunteers on duty

( ) 7.15 SCOPE OF VOLUNTEER MANUAL. The volunteer manual clearly presents the organization's policies and procedures including the following *(check those which are included):*

___ Description of the organization
___ Philosophy of service
___ History
___ Organizational structure
___ Selection policies
___ Job description plan
___ Description of orientation program for new volunteers
___ Assignment policies and procedures
___ Change of assignment and procedures
___ Provision for training for specific assignments
___ Ethical considerations
___ Supervision
___ Hours of service and handling of absences
___ Performance evaluations
___ Termination procedures
___ Expenses
___ Insurance coverage
___ Records
___ Recognition program
___ Safety and emergency procedures

*Comments:*

( ) 7.15.1 Description of the Organization. The volunteer manual contains a description of the organization.

( ) 7.15.1.1 The organization's statement of philosophy of service is included.

( ) 7.15.1.2 A history of the organization is included.

( ) 7.15.1.3 The organization chart portraying a summary of the structure, lines of responsibility, authority and communications is included.

*Comments:*

## 8. PROGRAM EVALUATION

PA VS[1]

( ) ( ) 8.1 PURPOSE. The organization uses a number of systems to evaluate its personnel administration and volunteer service program for the following management purposes *(check those purposes for which specific evaluation systems are utilized for each function)*:

| PA | VS | |
|---|---|---|
| ___ | ___ | To monitor application of human, physical and financial resources |
| ___ | ___ | To appraise progress made toward program goals |
| ___ | ___ | To measure the extent of achievement of established program objectives |
| ___ | ___ | To judge consistency with the organization's statement of philosophy of service |
| ___ | ___ | To assess individual effectiveness and opportunities for development of employees and volunteers |

*Comments:*

( ) ( ) 8.2 SCOPE. Evaluations of personnel administration and the volunteer service program are conducted systematically and include all relevant factors affecting them such as changes in the organization's objectives, legislation or financial reporting obligations.

( ) ( ) 8.2.1 Long-Range Plan. Progress toward long range goals is reviewed each year and the findings are used in revising and extending the long range plan as it affects personnel administration and volunteer service.

*Comments:*

( ) ( ) 8.2.2 Annual Plan. Achievements and costs are measured against the specific objectives established in the annual program and financial plan.

( ) ( ) 8.2.2.1 The findings are used to aid in developing the next annual program and financial plan.

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1. *The column headed "PA" should be used for evaluations related to personnel administration. The column headed "VS" should be used for evaluations related to volunteer service.*

PA VS

( ) ( ) 8.2.3 Resources. Evaluations encompass the adequacy of available resources including personnel, facilities, materials and equipment.

( ) ( ) 8.2.4 Review of Evaluation Systems. The systems used for evaluating these programs are themselves reviewed from time to time in terms of efficiency and effectiveness in achieving their stated puposes.

*Comments:*

( ) ( ) 8.2.5 Program Evaluation Checklist. Evaluations are made in relation to a number of significant factors *(check those which are regularly included for each function):*

| PA | VS | |
|---|---|---|
| ___ | ___ | Clarity of purpose |
| ___ | ___ | Outcomes of planning processess |
| ___ | ___ | Breadth of participation in planning |
| ___ | ___ | Impact of participation in decisions by persons served and other consumers |
| ___ | ___ | Results of affirmative action and equal opportunity policies |
| ___ | ___ | Usefulness of orientation and inservice training |
| ___ | ___ | Adequacy of job descriptions |
| ___ | ___ | Suitability of job classification system |
| ___ | ___ | Turnover rate |
| ___ | ___ | Staff morale |
| ___ | ___ | Suitability of performance evaluations |
| ___ | ___ | Numerical adequacy of personnel |
| ___ | ___ | Insurance protection |
| ___ | n/a | Salary scale for employees |
| n/a | ___ | Recognition program for volunteers |
| ___ | ___ | Termination policies and procedures |
| ___ | ___ | Record keeping |

*Comments:*

*PA* *VS*

( ) ( ) 8.3 PARTICIPATION IN EVALUATION. Provisions are made for broadly-based participation in evaluation processess by the following *(check those which are included in the evaluation systems for each program):*

| PA | VS | |
|---|---|---|
| ___ | ___ | Members of the governing or advisory body |
| ___ | ___ | Administrators |
| ___ | ___ | Program coordinators and supervisors |
| ___ | ___ | Other employees, their representatives and volunteers |
| ___ | ___ | Persons served and other consumers |
| ___ | ___ | Outside, specialized consultants |
| ___ | ___ | Staff from related organizations |
| ___ | ___ | Personnel from community planning and funding bodies |
| ___ | ___ | Other appropriate local, state or national groups |

*Comments:*

( ) ( ) 8.3.1 Structure. Evaluations are conducted by means of an organizaed and documented process.

*Comments:*

( ) ( ) 8.4 UTILIZATION OF FINDINGS. Evaluation findings are summarized, distributed in writing and systematically used in the organization's planning, budgeting and internal and public reporting activities.

*Comments:*

## PROGRAMMING FOR IMPROVEMENT

Programming for improvement involves a continuous cycle of planning, implementation and evaluation. Accreditation is a structured method of evaluation and planning. When meshed closely with an organization's normal program and fiscal planning and evaluations, the accreditation process enhances the organization's capacities to effect improvements.

This final part of the *Guide* is intended to summarize and report on the principal findings of the self-study of the programs evaluated on the preceding pages.

The first question is designed to elicit a listing of those features of the programs which are deemed to be most outstanding.

Questions two through six are designed for the organization to summarize its plans for improvement. Starting with a review of the recent past, these questions proceed through the present and into the future. Undoubtedly, the NAC self-study of these programs has generated ideas for their improvement. Questions four through six are focused particularly on taking advantage of the momentum created by the self-study by setting forth a timetable for improvement which reflects or can be incorporated into the organization's normal planning system.

This summary will help the on-site review team to understand and to report on the programs' strengths, the organization's recent achievements and its plans for the future. In this way, it also will assist the Commission on Accreditation in applying the following principle: if deficiencies exist, the organization is willing to remedy them and shows evidence of commitment to make the needed improvements in a reasonable time.

The "bottom line" for any human service program is its beneficial impact on the lives of the people it serves, and question seven asks about such impact. If the organization has conducted any recent follow-up studies, data from them as well as the broadly-based input received from participants in the self-study may be helpful in preparing this statement.

*1. What are the outstanding features of these programs at this time?*

2. *What improvements or other changes were made in the fiscal periods from five years ago through two years ago?*

3. *What improvements or other changes were made in the most recently completed fiscal year?*

4. *What improvements or other changes have been introduced in the current fiscal year? (Indicate which were made as a result of the self-study. Also, if they have not yet been completed, indicate when completion is expected.)*

5. *What improvements are included in the plan for next fiscal year?*

6. *What additional improvements are contemplated in the long range plan?*

*7. What impact have these programs had on the persons served?*

MEMBERS OF SELF-STUDY SUBCOMMITTEE

| Name | Identification (job title, board member, consumer, etc.) |
|---|---|
| Chairman: _____ | _____ |
| _____ | _____ |
| _____ | _____ |
| _____ | _____ |
| _____ | _____ |
| _____ | _____ |
| _____ | _____ |
| _____ | _____ |
| _____ | _____ |

Date completed by Subcommittee _____

Date accepted by Coordinating Committee _____

Organization Name _____

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### LEGISLATION

***Age Discrimination in Employment Act***

***Employee Retirement Income Security Act of 1974.***

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